



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Gopinathan *et al.*

Appl. No. 10/085,071
(Continuation-in-Part of 09/909,896)

Filed: March 1, 2002

For: **Methods and Systems for
DSP-Based Receivers**

Confirmation No. 1409

Art Unit: 2662

Examiner: (to be assigned)

Atty. Docket: 1875.1280001

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Information Disclosure Statement

Commissioner for Patents
Washington, D.C. 20231

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97((b)). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
 - ☐ a. Statement under 37 C.F.R. § 1,97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - ☐ b. Statement under 37 C.F.R. § 1,97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication

from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

- ☐ c. Attached is our Check No. _____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. _____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
 - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:

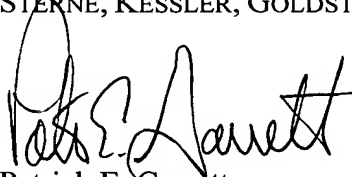
- ☐ 7. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



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Attorney for Applicants
Registration No. 39,987

Date: 1-16-03

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Washington, D.C. 20005-3934
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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 1875.1280001	APPLICATION NO. 10/085,071
	APPLICANT Gopinathan et al.	
	FILING DATE March 1, 2002	GROUP 2662

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA1	5,485,490	01/1996	Leung et al.			
	AB1	5,650,954	07/1997	Minuhin			
	AC1	5,757,857	05/1998	Buchwald			
	AD1	5,881,108	03/1999	Herzberg et al.			
	AE1	5,996,415	12/1999	Stanke et al.			
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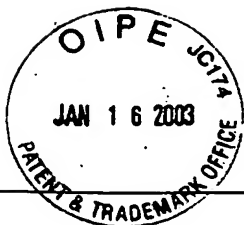
FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL1	0 483 439 A1	05/1992	EPO	H04L	25/03	Yes No
	AM1	0 805 447 A2	11/1997	EPO	G11B	20/10	Yes No
	AN1	1 139 619 A1	10/2001	EPO	H04L	25/02	Yes No
	AO1	WO 01/29991 A2	04/2001	PCT	H04B	10/00	Yes No
	AP1	WO 01/54317 A2	07/2001	PCT	H04B	10/00	Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	1	Agazzi, O. and Lenosky, T., "Algorithm to Postprocess Measured Data," <i>IEEE 802.3ae Equalization Ad Hoc Group</i> , IEEE, January 10, 2001, 11 pages.
AS	1	Agazzi, O., "A Link Model for Equalized Optical Receivers," <i>IEEE 802.3ae Equalization Ad Hoc Group</i> , IEEE, March 11, 2001, 30 pages.
AT	1	Agazzi, O. et al., "DSP-Based Equalization for Optical Channels: Feasibility of a VLSI Implementation," <i>IEEE 802.3ae</i> , New Orleans, IEEE, September 12-14, 2000, 39 pages.

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
	AL2	WO 01/65788 A2	09/2001	PCT	H04L	25/00	Yes No
	AM2	WO 02/13424 A2	02/2002	PCT	H04B	10/158	Yes No
	AN2						Yes No
	AO2						Yes No
	AP2						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>2</u>	Agazzi, O. et al., "Interim Observations on Multimode Optical Channels," <i>IEEE 802.3ae - Equalization Ad Hoc</i> , IEEE, Tampa, November 5, 2000, 29 pages.
AS	<u>2</u>	Agazzi, O. et al., "Measurements of DMD-Challenged Fibers at 3.125Gb/s," <i>IEEE 802.3ae Equalization Ad Hoc</i> , IEEE, January 10, 2001, 33 pages.
AT	<u>2</u>	Agazzi, O. and Lenosky, T., "Measurement of Non-Stationarity of 10 Gb/s Multimode Fiber Links," <i>IEEE 802.3ae Equalization Ad Hoc</i> , IEEE, November 24, 2000, 5 pages.

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	AM3						Yes No
	AN3						Yes No
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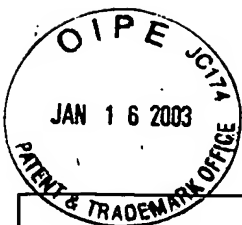
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>3</u>	Agazzi, O., "10 Gb/s PMD Using PAM-5 Modulation," <i>IEEE 802.3</i> , IEEE, Dallas, January 18-20, 2000, 19 pages.
	AS	<u>3</u>	Agazzi, O. et al., "10 Gb/s PMD Using PAM-5 Trellis Coded Modulation," <i>IEEE 802.3</i> , IEEE, Albuquerque, March 6-10, 2000, 38 pages.
	AT	<u>3</u>	Bhatt, V., "Equalization Ad Hoc Concluding Report," <i>IEEE P802.3ae Plenary</i> , IEEE, March 2001, 12 pages.

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	AA4						
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION
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	AM4						Yes No
	AN4						Yes No
	AO4						Yes No
	AP4						Yes No

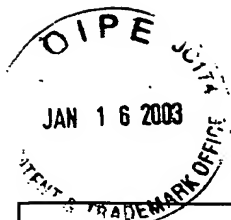
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>4</u>	Bingham, J.A.C., "Multicarrier Modulation for Data Transmission: An Idea Whose Time Has Come," <i>IEEE Communications Magazine</i> , IEEE, Vol. 28, No. 5, pages 5-8 and 11-14.
	AS	<u>4</u>	Chiddix, J. et al., "AM Video on Fiber in CATV Systems: Need and Implementation," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1229-1239.
	AT	<u>4</u>	Darcie, T., "Subcarrier Multiplexing for Lightwave Networks and Video Distribution Systems," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1240-1248.

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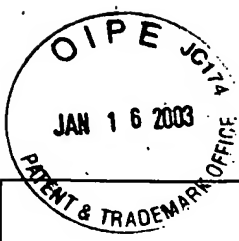
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	AL5						Yes No
	AM5						Yes No
	AN5						Yes No
	AO5						Yes No
	AP5						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>5</u>	Fettweis, G., "High-Rate Viterbi Processor: A Systolic Array Solution," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 8, October 1990, pages 1520-1534.
AS	<u>5</u>	Fettweis, G., "Parallel Viterbi Algorithm Implementation: Breaking the ACS-Bottleneck," <i>IEEE Transactions on Communications</i> , IEEE, Vol. 37, No. 8, August 1989, pages 785-790.
AT	<u>5</u>	Fornev, Jr., G.D., "The Viterbi Algorithm," <i>Proceedings of the IEEE</i> , IEEE, Vol 61, No. 3, March 1973, pages 268-278.

EXAMINER	DATE CONSIDERED
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	AA6						
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	AL6						Yes No
	AM6						Yes No
	AN6						Yes No
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	AP6						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>6</u>	Frazier, H., "IEEE 802.3 Higher Speed Study Group," 10 Gig MII update, IEEE, Kauai, Hawaii, November 9, 1999, 24 pages.
	AS	<u>6</u>	Giaretta, G. and Lenosky, T., "Adaptive Equalization of DMD Challenged Multimode Fiber at 1300 nm," IEEE P802.3ae Plenary, IEEE, March 11, 2001, 10 pages.
	AT	<u>6</u>	Hatamian, M. <i>et al.</i> , "Design Considerations for Gigabit Ethernet 1000Base-T Twisted Pair Transceivers," IEEE 1998 Custom Integrated Circuits Conference, IEEE, 1998, pages 335-342.

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	AL7						Yes No
	AM7						Yes No
	AN7						Yes No
	AO7						Yes No
	AP7						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	7	Isaacs, M et al., "Measurements of Fiber Responses at 5 Gb/s Data Rate Using 850nm VCSELs," <i>IEEE 802.3ae Equalization Ad Hoc</i> , IEEE, March 11, 2001, 18 pages.
AS	7	Kanno, N. and Ito, K., "Fiber-Optic Subcarrier Multiplexing Video Transport Employing Multilevel QAM," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1313-1319.
AT	7	Kasper, B.L., "Equalization of Multimode Optical Fiber Systems," <i>The Bell System Technical Journal</i> , American Telephone and Telegraph Company, IEEE, Vol. 61, No. 7, September 1982, pages 1367-1388.

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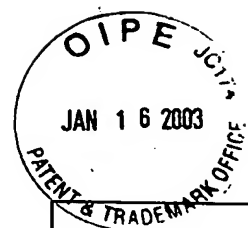
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	8	Kasturia, S. and Winters, J., "Techniques for High-Speed Implementation of Nonlinear Cancellation," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 9, No. 5, June 1991, pages 711-717.
	AS	8	Lenosky, T., "A Unified Method of Calculating PMD-induced Pulse Broadening," <i>IEEE 802.3ae Equalization Ad Hoc Meeting</i> , IEEE, Tampa, Florida, November 5, 2000, 8 pages.
	AT	8	Lenosky, T. and Giaretta, G., "Five Gb/s Multimode DMD at 850 nm: Real-Time Data and Equalizer Simulations," <i>Finisar Corporation</i> , March 11, 2001, 13 pages.

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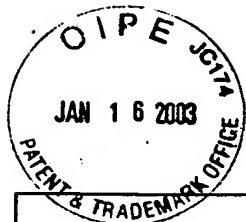
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>9</u>	Lenosky, T. et al., "Measurements of DMD-Challenged Fibers at 850nm and 2Gb/s Data Rate," <i>IEEE 802.3ae - Equalization Ad Hoc Group</i> , IEEE, January 10, 2001, 21 pages.
	AS	<u>9</u>	Lenosky, T. et al., "Measurements of DMD-Challenged Fibers at 1310nm and 1Gb/s Data Rate," <i>IEEE 802.3ae - Equalization Ad Hoc Group</i> , IEEE, January 10, 2001, 21 pages.
	AT	<u>9</u>	Liu, M-K. and Modestou, P., "Multilevel Signaling and Pulse Shaping for Spectrum Efficiency in Subcarrier Multiplexing Transmission," <i>IEEE Journal of Lightwave Technology</i> , IEEE, Vol. 12, No. 7, pages 1239-1246.

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	AM10						Yes No
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	AO10						Yes No
	AP10						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>10</u>	Olshansky, R. et al., "Subcarrier Multiplexed Coherent Lightwave Systems for Video Distribution," <i>IEEE Journal on Selected Areas in Communications</i> , IEEE, Vol. 8, No. 7, September 1990, pages 1268-1275.
AS	<u>10</u>	Olshansky, R. et al., "Subcarrier Multiplexed Lightwave Systems for Broadband Distribution," <i>IEEE Journal of Lightwave Technology</i> , IEEE, Vol. 7, No. 9, September 1989, pages 1329-1341.
AT	<u>10</u>	Otte, S. and Rosenkranz, W., "A Decision Feedback Equalizer for Dispersion Compensation in High Speed Optical Transmission Systems," <i>International Conference on Transparent Optical Networks</i> , IEEE, 1999, pages 19-22.

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FORM PTO-1449 <u>INFORMATION DISCLOSURE STATEMENT</u>	ATTY. DOCKET NO. 1875.1280001	APPLICATION NO. 10/085,071
	APPLICANT Gopinathan et al.	
	FILING DATE March 1, 2002	GROUP 2662

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA11						
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL11						Yes No
	AM11						Yes No
	AN11						Yes No
	AO11						Yes No
	AP11						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AR	<u>11</u>	Parhi, K. et al., "Parallel Implementation of the DSP Functions of the PAM-5 10Gb/s Transceiver," <i>IEEE 802.3ae Task Force</i> , IEEE, March 2000, 12 pages.
AS	<u>11</u>	Peral, E. et al., "Measurements of time variation in DMD-challenged multimode fiber at 1310nm for 10GE equalizer applications.," <i>IEEE P802.3ae Equalization Ad Hoc</i> , IEEE, March 2001, 19 pages.
AT	<u>11</u>	Personick, S.D., "Baseband Linearity and Equalization in Fiber Optic Digital Communication Systems," <i>Bell System Technical Journal</i> , American Telephone and Telegraph Company, Vol. 52, No. 7, September 1973, pages 1175-1194.

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March 1, 2002GROUP
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U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA12						
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	AL12						Yes No
	AM12						Yes No
	AN12						Yes No
	AO12						Yes No
	AP12						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>12</u>	Personick, S.D., "Receiver Design for Digital Fiber Optic Communication Systems, I," <i>Bell System Technical Journal</i> , American Telephone and Telegraph Company, Vol. 52, No. 6, July-August 1973, pages 843-874.
	AS	<u>12</u>	Personick, S.D., "Receiver Design for Digital Optic Systems," <i>National Telecommunications Conference</i> , IEEE, Atlanta, Georgia, November 26-28, 1973, Vol. 1, pages 8E-1 - 8E-4.
	AT	<u>12</u>	Vorenkamp, P. et al., "Analog Interface for 10-Gb/s Ethernet," <i>IEEE 802.3ae Task Force</i> , IEEE, March 2000, 13 pages.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE
	AA13						
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	AM13						Yes No
	AN13						Yes No
	AO13						Yes No
	AP13						Yes No

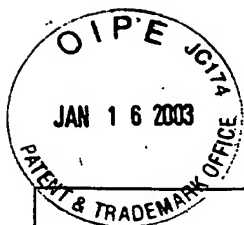
OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>13</u>	Winters, J. and Gitlin, R., "Electrical Signal Processing Techniques in Long-Haul Fiber-Optic Systems," <i>IEEE Transactions on Communications</i> , IEEE, Vol. 38, No. 9, September 1990, pages 1439-1453.
	AS	<u>13</u>	Winters, J. <i>et al.</i> , "Reducing the Effects of Transmission Impairments in Digital Fiber Optic Systems," <i>IEEE Communications Magazine</i> , IEEE, June 1993, pages 68-76.
	AT	<u>13</u>	"Progress Report on Equalization of Multimode Fibers," <i>Ad Hoc Group on Equalization</i> , IEEE, January 12, 2001, 16 pages.

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	AA14						
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	AL14						Yes No
	AM14						Yes No
	AN14						Yes No
	AO14						Yes No
	AP14						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>14</u>	Alderrou, D. <i>et al.</i> , "XAUI/XGXS Proposal," <i>IEEE 802.3ae Task Force</i> , IEEE, May 23-25, 2000, 28 pages.
	AS	<u>14</u>	Winters, J.H. and Gitlin, R., "Electrical Signal Processing Techniques in Long-Haul, Fiber-Optic Systems," <i>IEEE International Conference on Communications</i> , IEEE, Vol. 1, April 16-19, 1990, pages 0397-0403.
	AT	<u>14</u>	

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